| STATEWIDE INFORMATION TECHNOLOGY PROCEDURE |
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**Statewide Procedure:  Development of Statewide Information Technology Procedures and Guidelines**

**Short Title:  Procedure and Guideline Development**

**Effective Date: July 24, 2006**

**Approved:  CIO Policy Team**

**Replaces and Supercedes:**  This procedure supercedes all prior enterprise procedures or forms implementing statewide information technology (IT) procedures and guidelines.

## I.  Procedure Purpose:

This procedure provides detailed information and instructions for the development of IT procedures and guidelines used to support statewide IT policies and standards.

All procedures and guidelines developed to support statewide IT policies and standards should follow this procedure.

New procedures shall be published with the Statewide IT Procedures and Guidelines Template.

## II.  Definitions:

Refer to the Statewide IT Policies and Standards Glossary for a complete list of definitions.

## III. Roles and Responsibilities

Procedure and Guideline (P&G) Coordinators:  Procedure and Guideline Coordinators are responsible to lead the effort to develop a procedure or guideline, typically identified in the development of a policy. The P&G Coordinator is part of the Procedure and Guideline Development Team.

Procedure and Guideline (P&G) Development Team:  Persons assigned to develop a procedure or guideline, many of which are identified in the development of a policy.
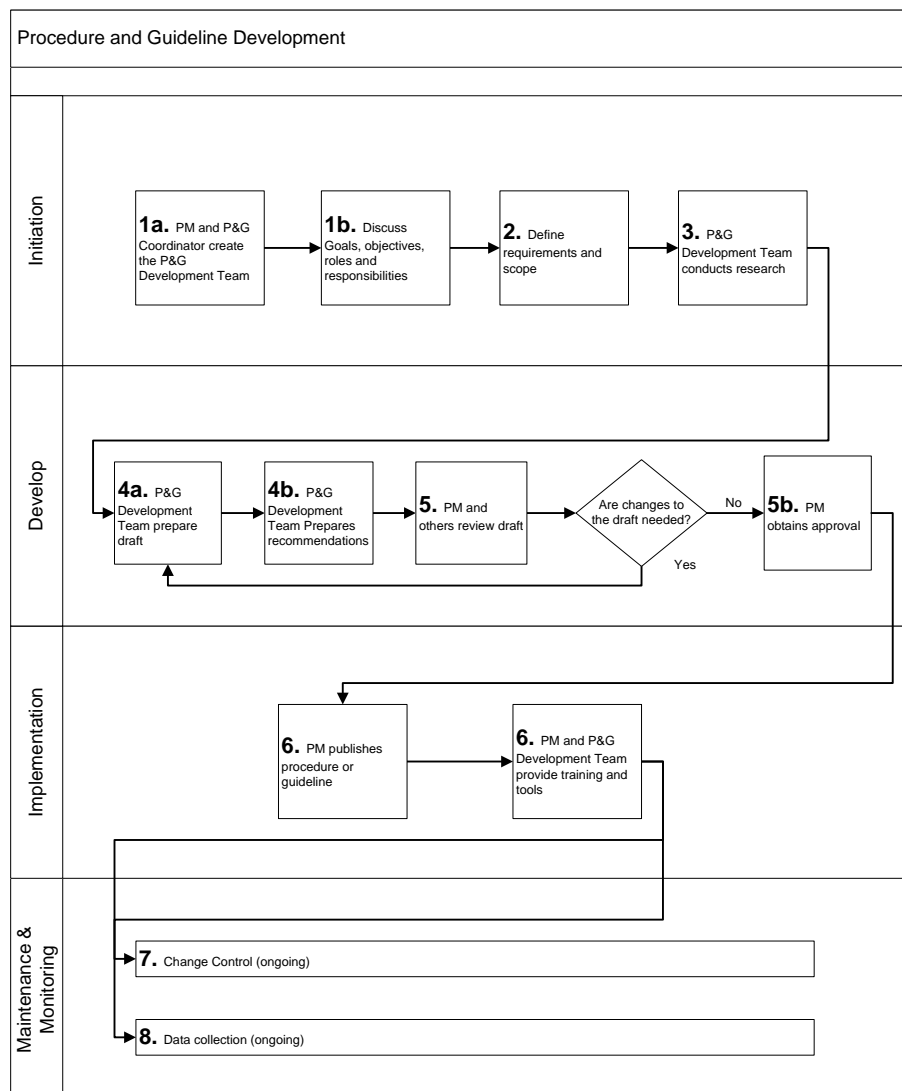
Policy Manager:  The development and implementation of each statewide IT policy and standard will be managed by the Policy Manager. The Policy Manager will be responsible to ensure the policy and any supporting procedures or guidelines are properly developed, reviewed and implemented. The Policy Manager will also be the contact for any questions or change requests regarding the policy.
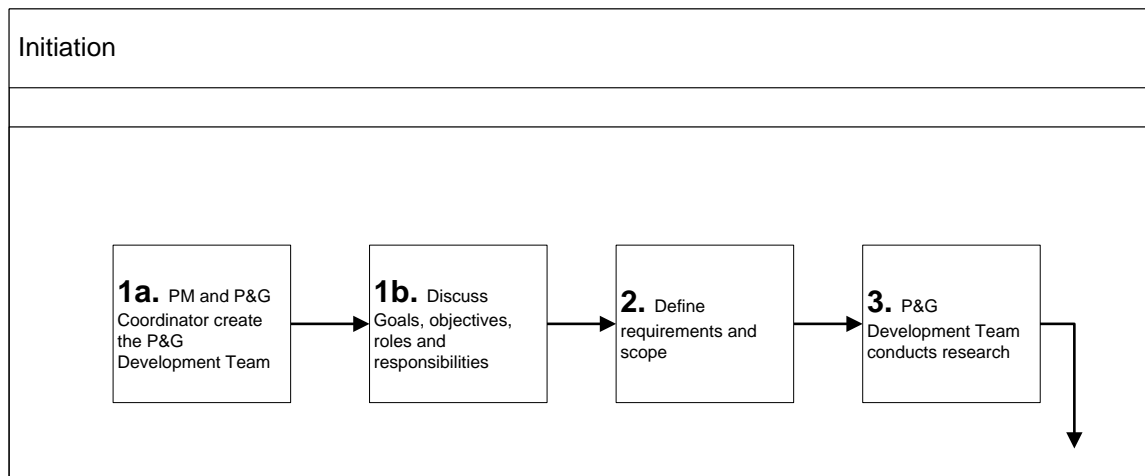
## IV. Procedures/Requirements

Activities required to develop and implement procedures and guidelines are:

1. Assemble and Prepare the P&G Development Team
2. Define Requirements and Scope of Procedure or Guideline
3. Conduct Research – Gather Information
4. Prepare Draft Procedure or Guideline
5. Review and Approval of Draft
6. Publish and Implement the Procedure or Guideline
7. Change Control
8. Data Collection

These are depicted in the figure below:

| Initiation |
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| 1a. PM and P&G Coordinator create the P&G Development Team | 1b. Discuss Goals, objectives, roles and responsibilities | 2. Define requirements and scope | 3. P&G Development Team conducts research |
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## 1. Assemble and Prepare the P&G Development Team

The P&G Coordinator, working with the Policy Manager, creates the P&G Development Team.  Members of this team may have been identified in the development of the related policy and should include stakeholders that can provide specific knowledge and who may be directly affected by the policy and supporting procedure or guideline.

Once identified, the P&G Coordinator and the Policy Manager should meet with the team to discuss the goals and objectives of the procedure or guideline, and clarify the roles and responsibilities of the team and other entities involved.
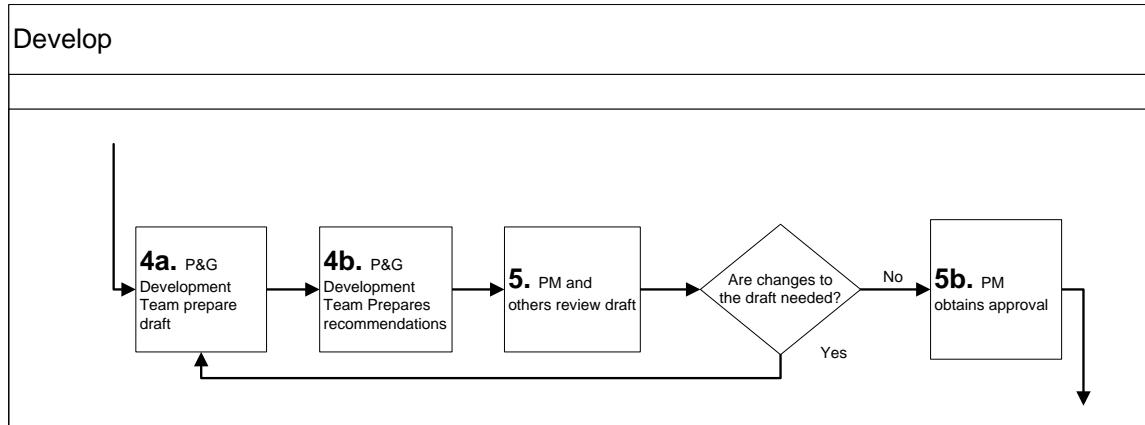
## 2. Define Requirements and Scope of Procedure or Guideline

In order to provide an effective deliverable, it is important for the P&G Development Team to understand the objectives, requirements and scope of the Procedure or Guideline being developed. The Policy Manager, via the parent policy, will provide much of this information, but the P&G Development Team should analyze related policies, standards, MCA, etc. to gain an accurate understanding of the requirements and applicability of each deliverable.

Appendix A provides some questions that may be asked to assist in defining requirements.

## 3.  Conduct Research – Gather Information

The P&G Development Team will complete necessary research to identify best practices, working models and other sources to develop an effective Procedure or Guideline.  It is important that the development team identify any existing Procedures or Guidelines that exist within the enterprise related to the objectives of what is being developed.
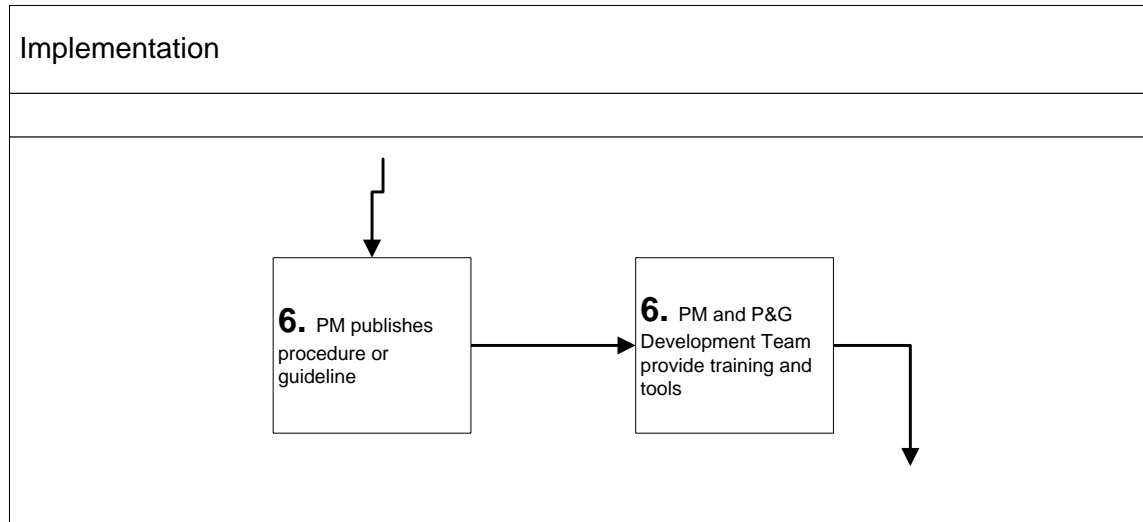
Develop

Flowchart:
- **4a.** P&G Development Team prepare draft
- **4b.** P&G Development Team Prepares recommendations
- **5.** PM and others review draft
- Are changes to the draft needed? — No → **5b.** PM obtains approval
- Yes (returns to 4a)

## 4. Prepare Draft Procedure or Guideline

Using the procedures and guidelines template, the P&G Development Team will generate the first draft of the Procedure or Guideline. The development team will include flowcharts, diagrams, and other information in support of the deliverable.

The development team may also provide recommendations regarding the implementation and maintenance of the procedure or guideline.  Such recommendations may include training, change control, monitoring, exceptions, scheduled review date, compliance, etc.

## 5. Review and Approval of Draft

The P&G Coordinator will provide the completed draft and related documents to the Policy Manager for review and approval.  The Policy Manager will determine if the draft meets its goals, or if it needs more work.  Once the Policy Manager accepts the draft, the Policy Manager will determine the level of review and approval based on the impact, risk, visibility, etc. of the procedure or guideline.

| Implementation |
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## 6. Publish and Implement the Procedure or Guideline

Once the draft has received proper review and approval, it is published on the DOA Enterprise IT Policies website.

The P&G Development Team will provide for training and tools needed to support the procedure or guideline. The Policy Manager will oversee these efforts to ensure they meet the requirements of the policy. The Policy Manager will measure the success of the procedure in supporting the policy.

| Maintenance & Monitoring |
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| **7.** Change Control (ongoing) |
| **8.** Data collection (ongoing) |
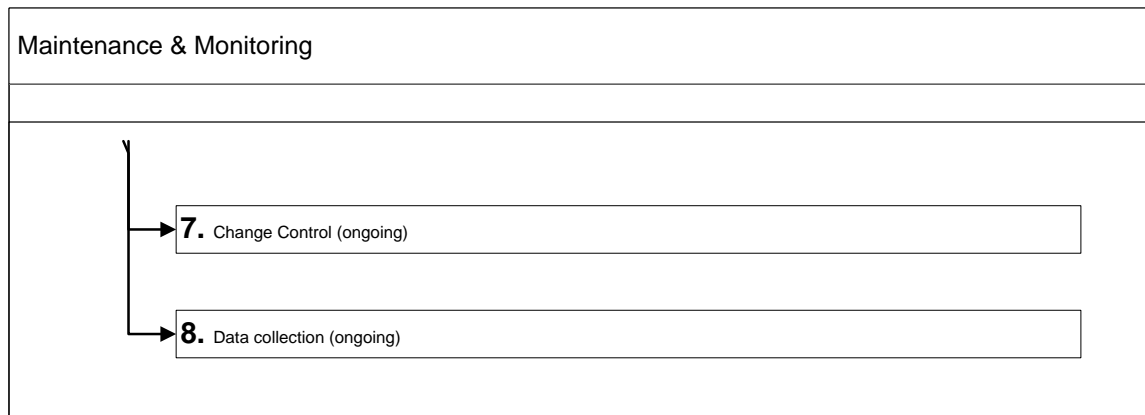
### 7. Change Control

The P&G Development Team will be involved in ongoing support activities, including change requests and periodic reviews. All material changes to procedures or guidelines will be approved by the Policy Manager.

The need for a new or a change to an existing procedure or guideline can be identified in the following manners:

- CIO Requirement
- Need identified by Policy Manager or P&G Development Team (scheduled review)
- Need identified via Action Request form
- Material change to policy or standard the procedure supports

### 8. Data Collection

In order to provide information needed to assess the effectiveness and value of policy, data will be collected at the procedure and guideline level. In addition to the requirements in the parent policy, the P&G Development Team will help determine what information should be collected and tracked to determine the effectiveness of the procedure or guideline. Such information may include:

- Volume of procedure or guideline use
- Are the objectives of the procedure or guideline being met?
- Is the procedure or guideline supporting the parent-policy's objectives?
- User input, time/resources needed – other costs - benefits
- Has it saved time or money for agency state, anyone?
- Negative impacts such as unnecessary hardships or inefficiencies caused by the procedure or guideline
- Number of exception requests

## V. Exceptions

All procedures that support policy should specify exceptions available and define the process to request exceptions.  Procedure exceptions will be received and acted upon by the P&G Coordinator.  The CIO Policy Team (CPT) will oversee and track all procedure exceptions.  The P&G Coordinator must provide the following exception request information to the CPT:

- Procedure Title,
- Procedure Coordinator,
- Who is requesting exception (name, title, organization),
- Date of request,
- Brief description of request, and
- Response to request (approve, conditions of approval, deny).

This information must be sent to the CPT at ITSD Service Desk within 5 days of acting on the request.

## VI. Closing

For questions or comments about this instrument, contact the Information Technology Services Division at ITSD Service Desk, or:

Chief Information Officer
PO Box 200113
Helena, MT  59620-0113
(406) 444-2700
FAX:  (406) 444-2701

## VII.    Cross-Reference Guide

### A.  State/Federal Laws

### B.  State Policies (IT Policies, MOM Policies, ARM Policies)

- Policy for Establishing and Implementing Statewide Information Technology Policies and Standards

### C.  Supporting IT Procedures or Guidelines

## VIII.  Administrative Use

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| Product ID: | **PROC-20060701k** |
| Proponent: | **State of Montana Chief Information Officer** |
| Version: | **1.1** |
| Version Date: | **9/5/2008** |
| Approved Date: | **July 20, 2006** |
| Effective Date: | **July 24, 2006** |
| Change & Review Contact: | [ITSD Service Desk](#) |
| Review: | Event Review: Any event affecting this architecture paper may initiate a review. Such events may include a change in statute, key staff changes or a request for review or change. |
| Scheduled Review Date: | **July 1, 2012** |
| Last Review/Revision Date: | **September 5, 2008** |
| Changes: | |

**APPENDIX A**
**REQUIREMENTS HELP**

Questions to consider when preparing the procedure:

- What procedure are you trying to define?

- Why is it important?

- Who or what does the procedure affect?

- Are there different ways of doing the procedure? If so, what are they?

- Is the activity/task done differently each time depending on who does it?

- How long does the procedure take?

- Is there a cost associated with this procedure?

- How many steps are there in the procedure?

- Why is each step important?

- What difficulties are involved in each step? How can they be overcome?

- Does the procedure have definitions that need to be clarified?

- Are there other procedures that are similar and could help illustrate the procedure?